TRICARE Management Activity Brown Bag Series 2004

Automated Data Processing Personnel Security Investigations

TMA Privacy Officer
TRICARE Management Activity
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April 2004

Our Commitment

The TRICARE Management Activity (TMA) Privacy Office is committed to ensuring the privacy and security of patient information at every level as we deliver the best medical care possible to those we serve.

TRICARE Management Activity

Presentation Objectives

- Explain personnel security requirements
- Explain Automated Data Processing (ADP) clearance process
- Explain Personnel Security Investigation (PSI) requirements

ACRONYM DESCRIPTION

- OPM - Office of Personnel Management
- DOHA - Defense Office of Hearings and Appeals
- SF85P - Standard Form 85P Questionnaire for Public Trust Positions
- ADP - Automated Data Processing
- PSI - Personnel Security Investigation
- EPSQ - Electronic Personnel Security Questionnaire
- DSS - Defense Security Service

ACRONYM DESCRIPTION

- DISCO – Defense Industrial Security Clearance Office
- PIPS Form 12 – Personnel Investigation Processing System
- SON – Submitting Office Number
- ISN – Investigation Schedule Notice
- SOI – Submitting Office Identifier
- DSS - Defense Security Service
- DISA – Defense Information Systems Agency

Compliance Background

All TRICARE Contracts must comply with:

- Privacy Act of 1974
- Health Insurance Portability and Accountability Act (HIPAA) Privacy Rule
- DoD Directive 5200.2 - Personnel Security Program
- DoD 5200.2R - Personnel Security Program

WHY IS THIS IMPORTANT TO THE MHS?

Sensitive information on HA/TMA Network Operations includes:

- Acquisitions
- Data Use Agreements (DUA)
- Personnel Security
- Personnel Health Information (PHI)
- Sensitive but Unclassified (SBU)

WHY IS THIS IMPORTANT TO THE MHS?

Purchased Care Contractors have access to sensitive personal information including:

- Enrollment of Beneficiaries
- Verification of eligibility
- Claims Processing
- Providing Customer Service
- Managing Medical Cases
- Patient Appointing/Physician Scheduling

DoD TEST PILOT (Not happening this year)

- Begin the DoD Pilot Test in January 2004
- Utilize the Joint Personnel Accreditation System
- Contractor appoints Security Officer
- Security Officer electronically submits SF85 Personnel Background checks to OPM
- OPM conducts Background Investigation
- **Defense Industrial Security Clearance Office (DISCO) adjudicates findings**
- Contractor Security Officer is notified of determination electronically

ADP Process for Background Checks

- Establish that this is a TRICARE contract

- Contact the TMA Privacy Office giving the POC information, and physical location, name of company, telephone number of POC, along with email address

- TMA Privacy Office gives instructions for applying for SON number

ADP Process for Background Checks (cont)

- Each contractor must submit PIPS Form 12 to OPM to obtain a Submitting Office Number (SON)
  - Access the DSS web site to obtain PIPS Form 12
  - Security Office Identifier (SOI) for MHS contractor (TMA Privacy Office will provide the SOI number)
  - Review web sites for process updates/changes
- Each contractor must provide their SON number to the MHS ADP Database Coordinator: adpmail@tma.osd.mil

ADP/IT Levels

IT-I Position. Incumbent of this position has privileged access to networks and information systems, system security and network defense systems, or to system resources. Duties are broad in scope and authority and provide access to the U.S. Government, DoD, or Component mission critical systems. The potential exists for exceptionally serious adverse impact on U.S. Government, DoD, Component or private sector information and/or operations, with worldwide or government-wide effects. Incumbent may also be responsible for unsupervised funds disbursements or transfers or financial transactions totaling over $10M per year.

ADP/IT Levels (cont)

IT-II Position. Incumbent of this position has limited privileged access, but duties are of considerable importance to the DoD or DoD Component mission, and the incumbent is under the supervision of an individual in a higher trust position (IT-I). For example, individuals in these positions may have ability to impact a limited set of explicitly defined privileged functions, such as privileged access confined to large portions of an IT or to a local network physically isolated from other DoD or publicly accessible networks. The potential exists for moderate to serious adverse impact on DoD or Component information or operations. Incumbent may also be responsible for monitored/audited funds disbursements or transfers or financial transactions totaling less than $10M per year.

ADP/IT Levels (cont)

IT-III Position. Incumbent in this position has non-privileged access to one or more DoD information systems/applications. IT-III incumbents can receive, enter and/or modify information in an information system/application or database to which they are authorized access. Users have access only to that data/information and those applications/networks to which the incumbent is explicitly authorized or has need-to-know and cannot alter those or other users' authorizations. Positive security measures and configuration management ensures that the incumbent can assume only explicitly authorized roles and privileges. The potential exists for limited adverse impact on DoD, Component or unit information or operations. Incumbent may also be responsible for financial operations subject to routine supervision or approval, but has no funds disbursement or transfer capabilities.

ADP/IT Process (cont)

Two options to access the SF85-P

Go to the OPM website at:
http://www.opm.gov/forms/pdfimage/sf0085p.pdf

or

Complete the Electronic Personnel Security Questionnaire (EPSQ) available on the DSS website at:
http://www.dss.mil/search-dir/epsq/sub.htm

Both options require submitting a hard copy to OPM

FORMS Package to OPM

- Standard Form 85P (SF85P)
- FD 258 (Fingerprint Card)
- Agency Use Info Form – SF85P

ADP/IT Process

SF 85P User Form Fields

A	Type of Investigation	Enter code for ADP level
B	Extra Coverage	Enter N/A
C	Sensitivity/Risk Level	Enter code for ADP level
D	Compu/ADP	Enter C
E	Nature of Action Code	Enter CON for contractor
F	Date of Action	Leave Blank
G	Geographic location	Leave Blank
H	Position Code	Leave Blank

ADP/IT Process (continued)

J	SON	Contact TMA Privacy Office
K	Location of official personnel folder	Check correct box
L	SOI	Contact TMA Privacy Office
M	Location of security folder	Check correct box
N	OPAC-ALC Number	Contact TMA Privacy Office
O	Accounting data and/or agency case number	see notes
P	Requesting Official	see notes

OPM Contact Information

OPM Web Site and Contact Numbers

- Web Site

www.opm.gov/extra/investigate

- Liaison Office (724) 794-5228
- Status Desk (724) 794-5612 ext. 168
- Mailing Address:

U.S. Office of Personnel Management
Federal Investigations Processing Center
P.O. Box 618
1137 Branchton Road
Boyers, PA 16018-0618

Verifying US Citizenship

Acceptable proofs of citizenship

Individuals born in the US:

- US passport
- Birth certificate (preferred)

Naturalized citizens:

- Certificate of naturalization.

Individuals born abroad to a US citizen parent or parents:

- Certificate of Citizenship issued by the Bureau of Citizenship and Immigration Services
- Report of Birth Abroad of a Citizen of the United States of America (Form FS-240)
- Certificate of Birth (Form FS-545 or DS-1350)
- US passport

Verifying US Citizenship

Examples of non-acceptable proofs of citizenship include:

- Voter registration cards
- Military discharge papers
- Driver’s license
- Dual Citizenship preference

TMA Privacy Office Resources

- www.tricare.osd.mil/tmaprivacy
  - Policy and Guidance
  - Information Papers
  - Contact link
- adp.mail@tma.osd.mil
- privacymail@tma.osd.mil

Our Commitment to Security

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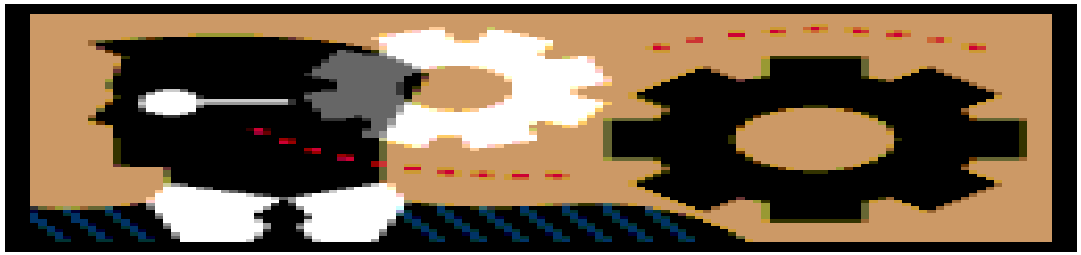

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